FIELD(CTITLE) FIELD(CFNAME) FIELD(CLNAME)
FIELD(APPLICANT)
FIELD(ADDR1)
FIELD(ADDR2)
FIELD(CITY), FIELD(STATE) FIELD(ZIPCODE)

Dear FIELD(CTITLE) FIELD(CLNAME):

USEPA's Great Lakes National Program Office (GLNPO) is pleased to invite you to submit a federal grant application for your project:

> FIELD(PROJECT) (FIELD(GLNPOID)) in the amount of $FIELD(SUG_FUNDS) over __ years.

Awards. This letter does not constitute a commitment of funds nor an authorization to begin work. We must first review your formal application, including your workplan and budget, and formally tender you an offer of an award. An offer of an award can be expected within 60 days of submission for approvable projects requiring no more than minimal revisions.

Workplan Guidance. The Workplan Guidance in Enclosure 1 may identify suggested changes to your proposal. It also may list programmatic requirements (including Quality System Documentation, Data Reporting, and Electronic Reporting) which could add costs to your budget and time to your workplan. Review these carefully and incorporate the applicable provisions into your workplan. Should you not include the applicable programmatic requirements in your workplan, U.S. EPA may add them as special conditions to award documents.

The "Grants Requirements and Instructions" (Index Item HI4 in the enclosed CD) includes an example of acceptable Components and Format for the workplan. If your project involves environmental data collection, note the potential savings and efficiency in submitting your proposal and workplan in the form of a Quality Assurance Project Plan.

Application Submission.   Applications should be submitted by July 15, 2004, but not later than July 30, for an award to be issued this fiscal year. Please send your original and two copies of your signed SF 424 and supporting documents to the attention of Eden Barragan using the letterhead address above.

To reduce paper usage and assist you in completing your application, we have made the necessary forms and instructions available to you on the enclosed CD. By opening the index.html file, included for your convenience as Enclosure 2 to this letter, you will have access to the materials you need to apply for and manage an Assistance Agreement. Please pay particular attention to the Checklist (Index Item HI3), which lists eleven items which must be completed to process your application. Please use the Grants Requirements and Instructions (Index Item HI4) to avoid common causes of delay. For

example, the Requirements and Instructions ask you to include:

(i) In Block 5 of the Form 424: (a) your D-U-N-S number, available to you without cost from: http://www.dnb.com/us/ (this is a new requirement) and (b) the Congressional District of the Applicant, available from http://nationalatlas.gov/congdistprint.html

(ii) An **Indirect Cost agreement or proposal** described in pages 5 and 6 of the "Grants Requirements/ Instructions."

(iii) **Audit information** in the "Remarks" block of SF424A, Section F, line 23. This is mentioned in the "Grants Requirements and Instructions", but is not included on the actual instructions to the SF424A.

After the Award. The enclosed CD also includes material that will be helpful to you after your award is issued. Please pay particular attention to the **"10 Common Grant Audit Issues;"** it will help you avoid problems such as accounting for labor costs using a pre-determined allocation, rather than actual time records, and making payment requests too early (such as with a regular drawdown of equal amounts without regard to actual disbursements). There are also general Federal grants requirements which will affect you pertaining to audits, accounting standards, lobbying, minority or women's business enterprise, civil rights, utilization of small businesses, use of recycled paper and material, publications, meetings, construction, and disposition of property. These general requirements apply to each assistance agreement, whether or not specified in terms and conditions.

Please take note. There is increasing scrutiny of EPA grants and grantees. EPA's Inspector General highlighted grants issues in testimony to Congress on June 11, 2003 and there have been several reports by the Inspector General and by the General Accounting Office in recent years which focused on grants. **We expect that both EPA and grantee practices will continue to be audited.** Consequently, there may be a greater attention than in the past on issues such as: assessing probability of success, reasonableness of proposed project costs, outcomes, milestones, deliverables, and oversight. EPA is expected to continue to "give priority attention to grantees that are inexperienced in the grant process or have weak internal systems." It is vitally important that *all grantees* adhere to Federal requirements in applicable OMB circulars on **Cost Principles** (A-21, A-87, or A-122), **Administrative Requirements** (A-102 or 110), and **Audit Requirements** (A-133) available at http://www.whitehouse.gov/omb/grants/

Questions/GLNPO Project Officer. Before you formally submit your Application, please send me your workplan and budget and call me to discuss your project. Answers to your questions may also be found at the EPA Grants Information web page at <http://www.epa.gov/ogd >. As the GLNPO Project Officer assigned to this project, I will assist you with the application process and will be responsible for negotiating any changes to your project. **Please feel free to contact me by phone () or e-mail (lastname.firstname@epa.gov). Should I not be immediately available, you may also contact () for assistance.**

Sincerely yours,

Enclosures: (1) Workplan Guidance, (2) Index to CD, (3) CD including Application Forms

GLNPO WORKPLAN GUIDANCE

Please note that in this Guidance, we reference Internet URL locations by using the symbols < >. The symbols are not part of the Internet address. Please also note that you can contact GLNPO staff via e-mail using the convention lastname.firstname@epa.gov

THE FOLLOWING REQUIREMENTS **DO APPLY** TO YOUR PROJECT. PLEASE ENSURE THAT THEY ARE ADDRESSED IN YOUR PROJECT WORKPLAN AND BUDGET. Final documentation may include a variation of the language described here.

Project-Specific Requirements.
[To be described by Project Officer.]

Quality System Documentation
Projects involving use of existing environmental data or collection of new environmental data (use or collection of environmental data) must meet the American National Standard *Specifications and Guidelines for Quality Systems for Environmental Data Collection and Environmental Technology Programs,* ANSI/ASQC E4-1994. "Environmental data" means measurements or information that describes environmental processes, location, or conditions; ecological or health effects and consequences; or the performance of environmental technology. The term "Quality System Documentation" includes a Quality Management Plan (QMP), a Quality Assurance Project Plan (QAPP), or such other documentation which demonstrates compliance with ANSI/ASQC E4-1994.

An Applicant *without* current, approved Quality System Documentation shall submit Quality System Documentation for approval to GLNPO by the earlier of (i) the 30th day prior to use or collection of environmental data and (ii) the 90th day after the project start date. An Applicant *with* current, approved Quality System Documentation will, by the earlier of (i) the 30th day prior to use or collection of environmental data and (ii) the 90th day after the project start date, deliver notification to GLNPO's Quality Assurance Manager. Notification shall, at a minimum state (i) that the Applicant has reviewed the proposed project in light of ANSI/ASQC E4-1994, (ii) whether or not the quality requirements of ANSI/ASQC E4-1994 apply to the project, and (iii) if those quality requirements apply, what steps the Applicant has taken or will take to comply with ANSI/ASQC E4-1994. The Applicant will adjust its implementation schedule accordingly. Costs associated with use or collection of environmental data are not allowable costs until Quality System Documentation is approved by the GLNPO Quality Manager.

Contact GLNPO's Quality Manager, Louis Blume (312) 353-2317 with questions or to request sample documentation. Further guidance is available in the Grants Requirements/Instruction in the Application Kit and from < http://www.epa.gov/quality/qa_docs.html >, which includes the document "QA/R-5: EPA Requirements for Quality Assurance Project Plans."

Reporting
Semi-annual progress reports shall be submitted electronically to the USEPA Project Officer by the 30th day after each six month period following the start date of the project. Progress reports shall document progress under the project in writing and in pictures. The "Grants Requirements / Instructions" include a suggested outline, addressing (1) work accomplished for the period, quantifying results; (2) Object Class Category changes; (3) corrective actions; (4) projected new work; (5) percent completion of scheduled work; (6) percent of budgeted amounts spent; (7) any change in principal investigator; and (8) any change needed in project period.

The **Final Report** shall incorporate project outputs and summarize the nature and extent of the project, methodologies employed, significant events and experiences, and a compilation of the data collected. The final report shall also include analysis of the data, conclusions, and recommendations. The final report shall incorporate photo documentation of the project and environmental progress under the project at appropriate phases, and appropriate illustrations, diagrams, charts, graphs, and maps to express the data and findings. The **draft Final Report** will be submitted

electronically to the USEPA Project Officer no later than 45 days after the end of the project period for review and comment. Electronic and paper versions of the Final Report shall be submitted no later than 90 days following the end of the project period. All work products shall carry attribution to the USEPA Great Lakes National Program Office for funding assistance and should also acknowledge significant contributions by others.

Locational Information. Locational information (latitude and longitude) shall be reported for all areas of interest in this agreement (ex: sampling sites/areas, restoration sites/areas, etc.) according to the format available on the Internet at < www.epa.gov/glnpo/fund/ldp.html >. Contact Pranas Pranckevicius at (312) 353-7996 with questions.

Copies, formats, ets. 3 printed, camera-ready copies of all reports and supplemental data, text, and graphics shall be submitted along with either:

(i) Original electronic copy on disk or cd. Both MacIntosh and Windows are acceptable. All major word processing and desktop publishing formats are acceptable. Digital graphics should be submitted in their original form. Any special fonts used within the document should also be provided. OR

(ii) Hypertext markup language (HTML) or Portable Document File (PDF) version.

All **environmental monitoring data** collected under this agreement shall be reported to GLNPO in spreadsheet format, preferably using Microsoft Excel. Contact Louis Blume (312) 353-2317 or Kenneth Klewin (312) 886-4794 with questions or to receive a hard copy of the format for environmental monitoring data. See <www.epa.gov/glnpo/glenda> for additional information.

Meetings/conferences

Time and travel costs along with participation in professional meetings and conferences funded under this agreement shall be approved by the USEPA Project Officer in advance.

Subcontracting

No portion of this work shall be subcontracted, without the explicit notification and written approval by the USEPA Project Officer.

Safety Manual

Lab and field activities conducted for this project must be in accordance with provisions of the GLNPO Health, Safety, and Environmental Compliance Manual. Contractors and Recipients are required to have read the contents of the Manual prior to initiating field operations on the USEPA owned vessels Lake Guardian and Mudpuppy.

Signage

The Recipient will erect a visible project identification sign at each significant access point to the project. Each sign must give project information and credit the United States Environmental Protection Agency - Great Lakes National Program Office for funding. Subject to the USEPA Project Officer's approval, the Recipient will determine the design, placement, and materials for each sign. [Source: 40 CFR §30.515]

Disposition of Wastes

Disposal of all wastes will be in accordance with State and Federal regulations, and is the responsibility of the Recipient.

FORMS INDEX

IMPORTANT INFORMATION -- PLEASE READ:

The CD contains WordPerfect, Word and Adobe Acrobat files. The WordPerfect and Word files may not be directly accessible from your Web Browser. If that's the case, to open these files and write to them manually: either (i) find them on this disk using Explorer, then save them to a file on your computer, (ii) find and open them from your word processing program, then save them to a file on your computer, or (iii) right click on the applicable name below, save them to a file on your computer, then open the saved file using "My Computer", Explorer, or your word processing program.

The Adobe Acrobat files can be opened by simply clicking on the applicable letter or icon below if you have either the free-version Acrobat Reader or the full-version Acrobat.

Most of the Adobe Acrobat Forms on the CD are of the fill-in type. They can be filled-in and printed using either the free-version of Acrobat Reader or the full-version of Acrobat. HOWEVER, ONLY USERS OF THE FULL-VERSION OF ADOBE ACROBAT WILL BE ABLE TO SAVE THESE FILLED-IN FILES. THOSE USING THE FREE-VERSION OF ACROBAT READER, THE FILLED-IN INFORMATION WILL BE LOST AS SOON AS THE FILE IS CLOSED OR THE COMPUTER IS SHUT OFF. Of course, you can also print out the forms and fill them in on a typewriter or neatly print the information on them.

GLNPO will update links on its website for each of these documents whenever GLNPO updates its own documents, or is aware of updates by others. See the documentation at:
http://www.epa.gov/grtlakes/fund/appforms.html

For updates, you may also want to check the following sites, from which GLNPO obtained several of the files on this CD:
EPA's Grants Office: http://www.epa.gov/ogd/grants/how_to_apply.htm
OMB Forms: http://www.whitehouse.gov/omb/grants/grants_forms.html
OMB Circulars: http://www.whitehouse.gov/omb/grants/grants_circulars.html

Getting Started - Helpful Information

	Document	**pdf**	**wpd**	**word**
HI1	Index	x	x	
HI2	Application Request Letter w/ Workplan Guidance (Generic)	x	x	
HI3	Checklist of Application Items to Be Submitted	x	x	
HI4	Grants Requirements and Instructions	x	x	
HI5	DUNS Number Guide (How to obtain)	x		

Forms to Fill Out to Apply For USEPA Grant (Keyed to Checklist of Items to Be Submitted)

A1	Transmittal Letter - No required form. Just tell us that you are submitting a grant application.			
A2	SF-424 Application For Federal Assistance	x		x
A3	SF-424A Budget Information	x	p1 p2 p3 p4	
A4	SF-424B Assurances for Non-construction Grant Programs	x	p1 p2	
A5	Workplan Format. See suggested format in Requirements and Instructions (HI4). Do include milestones and a budget chart.			
A6	Itemized Object Class Category Budget Narrative. A particular format is not required. See Document HI4, Item 6 of Part 1.			
A7	SF LLL-A Certification Regarding Lobbying	x	x	
A8	SF LLL Disclosure of Lobbying Activities	x	p1 p2	
A9	USEPA Form #4700-4 Pre-award Compliance Review Report	x	x	
A10	Letters of Support. If applicable. No required format.			
A11	Indirect Cost Rate Agreement or Proposal. No required format.			

The following materials will be helpful for managing an award after it is issued:

M1	10 Common Grant Audit Issues	x	x	
M2	Generic project progress report format	x	x	
M3	ASAP Bank Information Form	x		x
M4	ASAP Enrollment Handbook	x		x
M5	ASAP Organization Enrollment and User ID Request Form	x		x
M6	ASAP Officials Authorization Form	x		x
M7	SF #272 "Federal Cash Transactions Report" and #272A for continuations	x		
M8	Financial Status Report - SF #269 (Long Form)	x		
M9	Financial Status Report - SF #269A (Short Form)	x		
M10	EPA Form #5700-52A MBE/WBE Utilization EPA Form #5700-52A MBE/WBE Procurement EPA Form #5700-52A MBE/WBE Instructions	u p i	u p i	
M11	USEPA Rural Area Business Enterprise Development Plan	x	x	

M12	Summary Report of Inventions (EPA Form 3340-4)	x		
M13	Property Report (a narrative report in your own words would also be sufficient)	x		
M14	Lobbying Certification - Closeout	x	x	

The Following OMB Circulars and EPA Grants Regulations are essential to proper grants management.

Documents from 40 CFR were downloaded from the Electronic Code of Federal Regulations (e-CFR) and saved to this disk. e-CFR is a prototype of a currently updated version of the Code of Federal Regulations (CFR). The e-CFR prototype is a demonstration project. It is not an official legal edition of the CFR. The e-CFR prototype is authorized and maintained by the National Archives and Records Administration's (NARA) Office of the Federal Register (OFR) and the Government Printing Office (GPO).

We have included urls to provide a convenient way for you to easily access current documents via the Internet.

Procurement and Administration

Applies To	Federal Regulation	url	OMB Circular	url
State, Local, and Indian Tribes	40 CFR Part 31	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr31_00.html	A-102	http://www.whitehouse.gov/omb/circulars/a102/a102.html
Universities and Nonprofits	40 CFR Part 30	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr30_00.html	A-110	http://www.whitehouse.gov/omb/circulars/a110/a110.html

Audit

Applies To	Federal Regulation	url	OMB Circular	url
State, Local, and Indian Tribes	40 CFR Part 31	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr31_00.html	A-133	http://www.whitehouse.gov/omb/circulars/a133/a133.html
Universities and Nonprofits	40 CFR Part 30	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr30_00.html	A-133	http://www.whitehouse.gov/omb/circulars/a133/a133.html

Cost Principles

Applies To	Federal Regulation	url	OMB Circular	url
State, Local, and Indian Tribes	40 CFR Part 31	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr31_00.html	A-87	http://www.whitehouse.gov/omb/circulars/a087/a087.html
Universities	40 CFR Part 30	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr30_00.html	A-21	http://www.whitehouse.gov/omb/circulars/a021/a021.html
Nonprofits	40 CFR Part 30	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr30_00.html	A-122	http://www.whitehouse.gov/omb/circulars/a122/a122.html

Debarment and Suspension

All	40 CFR Part 32	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr32_00.html

Restrictions on Lobbying

All	40 CFR Part 34	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr34_00.html

Research and Demonstration Grants

All	40 CFR Part 40	http://www.access.gpo.gov/nara/cfr/waisidx_00/40cfr40_00.html